

South Carolina Judicial Department

Functional Analysis and Records Retention Schedule

July 2008

Table of Contents

Sources of Information	2
Introduction.....	3
Functional and Organizational Analysis of the South Carolina Judicial Department	4
Agency Organization.....	4
Agency Mission and Functions/Programs	4
Analysis of Record Keeping System and Functional Appraisal of the South Carolina Judicial Department.....	7
Agency Record Keeping System	7
Functional Appraisal	9
South Carolina Judicial Department Records Retention Schedule	9
Explanation of Records Requirements.....	10
Records Retention and Disposition Requirements	11
Supreme Court Records	11
Court of Appeals Records	13
Court Administration Records	14
Office of Disciplinary Counsel Records	27
Internal Operations Records	28
Administrative Records.....	28
Financial Records.....	36
Human Resources Records	49
Information Systems and Technology Records	53
Requirements and Recommendations for Implementing the Records Retention Schedule.....	59
Official Approval	61
Appendix A – Judicial Department Records in the Custody of the Department of Archives and History	62

Sources of Information

Staff of the Judicial Department
Judicial Department Annual Reports
Judicial Department Accountability Reports
Judicial Department Strategic Plan, 2003-2004
Judicial Department organizational charts
Archives and Records Management Division, Records Appraisal Files
Archives and Records Management Division, Records Retention Schedules for the
Judicial Department
Code of Laws of South Carolina
Holdings of the South Carolina Department of Archives and History (SCDAH)
Holdings of the State Records Center
Holdings of the South Carolina State Library
SCDAH Appraisal File
Judicial Department Website
Judicial Department publications

Introduction

This document was prepared for the South Carolina Judicial Department by staff of the South Carolina Department of Archives and History (SCDAH). It contains a functional analysis of Judicial Department programs and activities and a new and updated records retention schedule.

With grant funding from the National Historical Publications and Records Commission of the National Archives and Records Administration, the SCDAH launched a cooperative pilot project with the Judicial Department to test new approaches to streamline records management processes for computer as well as paper-based records systems. The Judicial Department is one of the first state government departments/agencies to participate in this project, so the approaches tested and refined here will serve as the model for subsequent work in other agencies. This document represents one of the major outcomes of this project. In addition to an updated records retention schedule, this report contains recommendations for establishing and maintaining a quality record-keeping program.

This records retention schedule supersedes all previous versions and specifies how long to keep various department records regardless of format or storage media. It identifies records having permanent value and authorizes the legal disposal of non-permanent records at the end of specified time periods. Upon approval and signing by the executive officer or appointed records officer of the Judicial Department and the Director of the SCDAH or his designee, this document constitutes the official records schedule for the South Carolina Judicial Department.

In addition to the lists of records with retention and disposition requirements, this document also provides other information useful to the department. Included is information on historical context, present department organization, descriptions of programs and functions, record-keeping system analysis, and a description of the functional appraisal model used to develop the records retention schedule.

Other project components include the *Electronic Records Management Guidelines* and the *Trustworthy Information Systems Handbook*. These documents are designed to assist with department record-keeping and records management and are available on the SCDAH website.

The SCDAH is grateful for the cooperation, patience, and understanding of the numerous Judicial Department staff that we interviewed and worked with during the course of this project. We would like to particularly thank the Clerk of the Supreme Court, Dan Shearouse, for his coordinating and facilitating role as well as Chief Justice Jean Toal for agreeing to work with us.

Functional and Organizational Analysis of the South Carolina Judicial Department

Department Organization

(As reported in the 2006-2007 Judicial Department Accountability Report)

The Judicial Department manages the statewide, unified judicial system. The organizational structure of the South Carolina Judicial Department can be categorized in two areas: (1) adjudication and (2) administration.

Adjudication

- Supreme Court
- Court of Appeals
- Circuit Courts
- Family Courts
- Masters-in-Equity
- Probate Courts
- Magistrate Courts
- Municipal Courts

Administration

- Supreme Court
- Office of Bar Admissions
- Office of Disciplinary Counsel
- Court Administration
- Finance and Personnel
- Office of Information Technology
- County Clerks of Court

Department Mission and Functions/Programs

Mission

The mission of the Judicial Department is to ensure that an accessible forum is available for the resolution of civil disputes and criminal matters and to resolve those cases in a fair and efficient manner.

Major Activities/Programs

Supreme Court

Adjudicating appellate cases involving the following

- A sentence of death
- The setting of public utility rates
- A challenge on state or federal constitutional grounds to a state law or county or municipal ordinance
- Public bonded indebtedness
- Elections or election procedure
- An order limiting the investigation by a State Grand Jury
- A family court order involving an abortion by a minor
- Appeals certified for its review by the Supreme Court

Adjudicating certiorari petitions seeking review regarding

- Post-conviction relief actions
- Decisions of the South Carolina Court of Appeals

Adjudicating actions or writs filed in the original jurisdiction of the Court

Bar Admissions

Lawyer and Judicial Disciplinary Matters

Promulgation of Court Rules and Administrative Orders

Court of Appeals

Adjudicating appeals from the lower courts and some administrative tribunals

Adjudicating certiorari petitions in post-conviction relief cases when transferred by the Supreme Court

Court Administration

The State Court Administrator serves as the Director of the Office of South Carolina Court Administration. It is the administrative arm of the Chief Justice in his/her capacity as the administrative head of the state judicial system. Duties include the following:

1. Recommending to the Chief Justice the scheduling of terms of Circuit Court and Family Court and the assignment of judges to preside over these terms, and the court reporters who transcribe the proceedings.
2. Assisting the Chief Justice in the operation of the Circuit Courts, Family Courts, Probate Courts, Masters-In-Equity, Magistrates Court, and, to a limited degree, Municipal Courts, as well as the support personnel related to these courts, such as Clerks of Court.
3. Collecting caseload information and activity statistics on the operation of the Circuit Courts, Family Courts, Probate Courts, Magistrate Courts, Municipal Courts, and Masters-In-Equity.
4. Providing assistance to individual courts in calendar management, jury management, and recordkeeping. Such assistance is provided at the request of the individual trial courts or at the initiation of Court Administration when problems come to its attention.

5. Serving as a clearinghouse of new studies and reports in the area of judicial administration and reform.
6. Making recommendations to the Chief Justice on administrative or procedural rules being considered for adoption and analyzing the potential effect of such proposed rules on the system.
7. Supplying reports and documents to the legislature, and drafting proposed legislation with the aid of advisory committees and others.
8. Conducting mandatory legal education programs for summary court judges including orientation schools for new judges and regional schools on specific subject matters. Also assisting in schools for new probate judges and clerks of court, and orientation schools for new circuit and family court judges.
9. Administering the Judicial Commitment Fund and the Interpreters Fund.
10. Coordinating with and assisting, when requested, the Commissions on Lawyer and Judicial Conduct and the Finance and Personnel sections of the Judicial Department and other agencies of state government such as the Attorney General's Office, the Department of Juvenile Justice, State Law Enforcement Division, the Governor's Office, and the Department of Social Services. Representatives of the office serve on various committees within the Judicial Department and state government.
11. Serving as secretariat to the Judicial Council, the Appellate Defense Commission, the Board of Magistrate Certification, and the Board of Arbitration and Mediation Certification.

Office of the Disciplinary Counsel

The Office of Disciplinary Counsel is primarily tasked with screening and investigating all of the complaints made against both judges and lawyers in South Carolina. The Office is also responsible for prosecuting those judges and lawyers who have either committed ethical misconduct, or are suffering from a physical or mental condition which adversely affects their ability to serve the public.

Commission on Lawyer Conduct

The Commission on Lawyer Conduct is tasked to investigate complaints of lawyer misconduct and incapacity made against lawyers who are licensed to practice law in South Carolina. This 44 member Commission is made up of 42 attorneys admitted to practice law in South Carolina, and 2 members of the general public.

Commission on Judicial Conduct

The Commission on Judicial Conduct is tasked to investigate complaints of judicial misconduct and incapacity made against judges who are a part of the South Carolina unified court system. This twenty-four (24) member Commission is made up of eighteen (18) judges, four (4) attorneys, and two (2) members of the general public.

Analysis of Recordkeeping Systems and Functional Appraisal of the South Carolina Judicial Department (SCJD)

Analysis of Recordkeeping Systems

Summary

The Judicial Department maintains records in both paper and electronic formats. Document Imaging, Website, Intranet, and an Extranet are in operation. Case management systems are prevalent and include statewide case management systems under development. As the Department's reliance on electronic information continues to grow, consistent application of records management concepts and procedures should be made a priority. Incorporating these concepts into the technology planning, development and maintenance stages will create a favorable environment for successful electronic recordkeeping.

Judicial Automation Project

The Judicial Automation Project is designed to modernize the operations of the South Carolina courts. The multi-year plan is integrating technology into all levels of the judiciary, from the Supreme Court to the Summary Courts. Beginning with the development of an SCJD Strategic Technology Plan by BearingPoint (formerly KPMG Consulting) in 2000, several technology initiatives were identified as the basis for SCJD modernization efforts. Included in the plan are a Network Infrastructure Project, Web Portal Project, Statewide Court Case Management System, Appellate Imaging System Project, and a Call Center.

Statewide Court Case Management System (CMS)

As part of the Judicial Automation Project, the Judicial Department is implementing a Statewide Court Case Management System (CMS) that serves the criminal and civil courts of South Carolina. Counties and municipalities are encouraged, but not mandated, to use the CMS. In order to develop and support the CMS, the Judicial Department adopted an internally managed application service provider (ASP) model. A staff including programmers, network specialists, and help desk personnel maintain and support the system. State and local government offices including SLED, Probation, Pardon and Parole, DSS Child Support Enforcement, and local law enforcement will eventually interface with the CMS.

Additional Case Management Systems

The *Supreme Court* and *Court of Appeals* use a case management system that was installed in 1995 to track cases before the high courts. A committee is considering an upgrade to the case management software.

The *Office of Disciplinary Counsel* uses a case management system that was installed in 2006 to track its cases. This system also has built-in document scanning and imaging features that are used internally.

Document Imaging

A concerted effort is underway at SCJD to drastically reduce the Department's reliance on traditionally formatted documents (microfilm, paper), replacing them with digital surrogates. Scanners are in operation at the Supreme Court, Court of Appeals and Court Administration. Internal staff perform the imaging and system maintenance duties. Records management practices including planning for archival records have not been thoroughly incorporated into the scanning procedures at this time.

Supreme Court – The Supreme Court directs the imaging program with several scanners in operation. Files presently being imaged include “Cases Heard and Submitted,” “Bar Admissions files,” and “Summary Disciplinary Files.” An average of one cubic foot of paper is scanned per day. Currently, after imaging, the paper is boxed and remains at the Supreme Court building or is stored at off-site storage. One full-time employee is dedicated to the operation and several others assist as time permits.

Microfilm copies of closed cases are available for records prior to 1995. Microfilming was discontinued in the mid 1990s due to poor vendor quality, increasing costs, and aversion to the medium by users. Digitization via scanning of the backlog of unfiled records from 1995 through the present is underway.

Court Administration – Imaging of Court Administration documents is presently done on a small scale. Only administrative orders of the Chief Justice are being scanned.

Court of Appeals – Imaging staff at the Court of Appeals consists of two half-time employees. The files scanned are from the series, “Cases Heard and Submitted.” An average of one cubic foot of paper is imaged per day. Currently, after imaging, the paper is boxed and remains at the Court of Appeals building, stored at off-site storage, or accessioned into the permanent collection at the SC Department of Archives and History.

Microfilming was discontinued in 1995. Closed cases up to 1995 are available in microfilm. Cases from 1995-1998 are available only in paper. Imaging is inclusive on cases from 1998 through the present. Backfile conversion of cases maintained only in paper (files from 1995 through 1998) is planned.

Office of Disciplinary Counsel – The Office of Disciplinary Counsel is imaging documents at this time using its internal case management system.

Website

The website went on-line in October 2000. There are web SQL and ColdFusion based web servers. The majority of the pages on the site are dynamically generated. The site currently receives more than 8 million hits a month, mostly from the legal community. The system incorporates several terabytes of storage. Updates overwrite content as required to keep information current.

Court Administration – The website provides Court Administration with a means to distribute statistical information and various publications.

Supreme Court – Via the website, the Supreme Court publishes “Bar Admissions” (pass-fail information), “Court Rules,” “Administrative Orders,” “Opinions and Orders,” and “Rosters,” in addition to other materials including video and textual materials for educational outreach to high school students.

Intranet

A Judicial Department Intranet is used by employees to provide access to the Court Directory, HR policies, travel policies, meeting scheduler and other internal information.

Extranet

A password accessible extranet provides a gateway to additional reports, Court CMS documents and software patches.

Functional Appraisal

South Carolina Department of Archives and History staff used a functional appraisal model to develop this records retention schedule for the Judicial Department. This model involved a top-down approach, which included identifying and analyzing the functions and activities of the department to gain an understanding of its operating environment and to provide a framework for classifying department records. The next step in the process involved applying several appraisal tools to determine which department functions and activities met the criteria for historical significance. From these significant functions and activities, records were selected and designated for permanent retention. These permanent (archival) records make up one small category of records created and/or maintained by the Judicial Department. All other department records are categorized as non-permanent.

Non-permanent records should be held for what is considered their active life and then disposed of once all fiscal, legal, and administrative requirements have been met. Permanent (archival) records must be protected and preserved for future access either in the Judicial Department or transferred to the South Carolina Department of Archives and History for permanent retention. The schedule lists department records first by function/program and then by permanent or non-permanent categories within each function/program.

South Carolina Judicial Department Records Retention Schedule

This records retention schedule is issued by the South Carolina Department of Archives and History (SCDAH) under the authority of the South Carolina Public Records Act. (*Code of Laws of South Carolina, 1976*, Sections 30-1-10 through 30-1-140, as amended) It was prepared by the SCDAH’s Archives and Records Management Division. The schedule lists records created and maintained by the South Carolina Judicial Department in carrying out its official functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Judicial Department to implement records destruction.

South Carolina law requires public officials to protect records from “deterioration, mutilation, theft, loss, or destruction” so that publicly accessible records are available for public inspection and so that all records may be transferred to an official’s successor in office. State law also requires agencies to cooperate with the SCDAH in establishing records retention schedules.

Explanation of Records Requirements

- This record retention schedule supersedes any previous record retention schedules governing the retention and disposition of Judicial Department records. Copies of superseded schedules are no longer valid and should be destroyed.
- This record retention schedule establishes minimum retention and disposition instructions for official records listed below regardless of the medium on which those records may be kept. As with records in any other formats, the retention periods for e-mail records are determined by the value of their content and not by format or method of recording.
- Some temporary records listed under the Administering Internal Operations function of this retention schedule represent duplicate copies of records listed for long-term or permanent retention in the schedules of other agencies.
- Certain records and record-related materials need not be retained as records under the disposition requirements of this retention schedule. Such materials include: (1) convenience or duplicate copies that do not require official action; (2) catalogs, trade journals, and other publications received that do not require official action and do not document department activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages, drafts of ordinary documents not needed for their evidential value, copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about non work-related activities. These kinds of materials may be disposed of when no longer needed for reference and without documentation of destruction.

Records Retention and Disposition Requirements

This section of the records retention schedule contains a list of department records with descriptions, retention periods, and dispositions. The list is arranged according to the functions and programs of the Judicial Department. It includes the series of records created and/or maintained by the department as a result of activities and transactions performed in carrying out those functions and programs. Within each section, records to be permanently retained are listed first, followed by non-permanent records. This list of department records is by no means comprehensive in scope. The Judicial Department may submit requests to revise, add, or delete specific records disposition requirements to the SCDAH at any time. Contact the Archives and Records Management Division to obtain assistance.

Judicial Department Records Schedule

Supreme Court

357-0001 **Supreme Court Case Records** A

Contains the records relating to appeals or other matters that are filed with the Supreme Court under the South Carolina Appellate Court Rules. Records consist of documents related to direct appeals, post-conviction relief certiorari proceedings, certiorari proceedings to review decisions of the Court of Appeals, extraordinary writs, original actions, certified questions, docketing information, attorney and judicial disciplinary cases, and other matters that may be filed with the Supreme Court. Some of these records may contain internal working documents or other materials that are not available to the public.

Retention:

Agency: PERMANENT

State Archives: PERMANENT (Non-restricted electronic records only)

357-0002 **Bar Admission Records** A

Contains records relating to the admission of persons to practice law. Records consist of documents related to admission of persons to practice law, the issuance of limited certificates to practice law, certification of lead counsel in death penalty cases, and compliance with the trial experience requirements. It also includes documents generated or retained by the Office of Bar Admissions, the Clerk of Court, the Board of Law Examiners, and the Committee on Character and Fitness. This does not include the MBE examination test questions or score sheets which are the property of the National Conference of Bar Examiners (NCBE) and are returned immediately to the NCBE following the bar examination. Further, this series does not include the essay responses prepared by the applicants and documents related to pro hac vice admissions which are in a separate series. Many of these records are confidential under Rules 402 and 403 of the South Carolina Appellate Court Rules and are not available to the public.

Retention:

Agency: PERMANENT

State Archives: PERMANENT

357-0003 **Rules and Administrative Orders** A

Contains the current and historical records of rules and administrative orders issued by the Chief Justice or the Supreme Court. Files consist of all documents relating to rules, rule amendments, information pertaining to public hearings and comments regarding proposed rules, and administrative orders. These records do not include administrative orders regarding the administration of the trial courts since these records are maintained by Court Administration. Some of these records may contain internal working documents or other materials that are not available to the public.

Retention:

Agency: PERMANENT

State Archives: PERMANENT (Non-restricted electronic records only)

Judicial Department Records Schedule

Supreme Court

357-0004 **Routine Correspondence** A

Contains records of routine correspondence that are unrelated to a matter pending before the Supreme Court. The majority of these records are related to correspondence to or from prisoners.

Retention:

Agency: 3 years

State Archives: Selection of needed documentation; PERMANENT

357-0005 **Bar Examination Essay Materials** D

Contains the essay responses along with any drafts or scrap paper the applicants may generate during a bar examination. These are not available to the public.

Retention:

Agency: Five months after start date of examination; destroy.

357-0006 **Pro Hac Vice Admission Documents** D

Contains applications and other documents relating to pro hac vice admission.

Retention:

Agency: Two years after the date of application; destroy.

357-0007 **Recordings of Oral Arguments** D

Contains audio recordings of oral arguments before the Supreme Court. Some of these recordings may be of closed hearings that are not available to the public.

Retention:

Agency: One year after the date of oral argument unless needed for future reference; destroy.

Judicial Department Records Schedule

Court of Appeals

357-0016 **Court of Appeals Case Records** A

Contains the records relating to appeals or other matters that are filed with the Court of Appeals under the South Carolina Appellate Court Rules. Records consist of documents related to direct appeals, post-conviction relief certiorari proceedings, docketing information, and other matters that may be filed with the Court of Appeals. Some of these records may contain internal working documents or other materials that are not available to the public.

Retention:

Agency: PERMANENT

State Archives: PERMANENT (Non-restricted electronic records only)

357-0017 **Routine Correspondence** A

Contains records of routine correspondence that are unrelated to a matter pending before the Court of Appeals. The majority of these records are related to correspondence to or from prisoners.

Retention:

Agency: 3 Years

State Archives: Selection of needed documentation; PERMANENT

357-0018 **Recordings of Oral Arguments** D

Consists of audio tapes of arguments before the Court of Appeals. Some of these recordings may be of closed hearings that are not available to the public.

Retention:

Agency: One year after the date of oral argument unless needed for future reference; destroy.

Judicial Department Records Schedule

Court Administration

357-0031 **Court Administrative Files** A

This file consists of copies of orders, memoranda, reports, and other administrative papers which affect the entire judiciary issued by either the Supreme Court or the Court of Appeals. Included are reports from special committees which have a limited life.

Retention:

Agency: 6 years

State Archives: Selection of needed documentation; PERMANENT

357-0032 **Rules** A

This series consists of copies of rules as issued by the South Carolina Court Administration for the establishment of standardized administrative procedure for the judicial system of South Carolina. In addition, this series contains copies of South Carolina Supreme Court Orders that originally established these rules and any related correspondence and memorandums.

Retention:

Agency: Until superseded or rescinded.

State Archives: Selection of needed documentation; PERMANENT

357-0033 **Courts (Correspondence)** A

This series consists of correspondence between the South Carolina Court Administration and the courts of the South Carolina judicial system. Included are orders, memoranda and other topics determined to be significant by Court Administration. These letters are received and sent to officials of the Circuit Courts, Probate Courts, Family Courts, Magistrates' Courts, Municipal Courts, and Master in Equity Courts. It also includes correspondence used for general communication purposes between the South Carolina Court Administration and the Supreme Court and the Court of Appeals.

Retention:

Agency: 6 years

State Archives: Selection of needed documentation; PERMANENT

357-0034 **Advisory Committee Files** A

This series consists of the committee files of the various advisory committees associated with the judicial system. Included are minutes, membership and roster lists and other related information. Committees include those associated with the judges of the Circuit Courts, Family Courts, Probate Courts, Magistrates' Courts, Municipal Courts, Clerk of Courts, and Court Reporters.

Retention:

Agency: 6 years

State Archives: Selection of needed documentation; PERMANENT

Judicial Department Records Schedule

Court Administration

357-0035 **Issues in Court Administration Files** A

This series consists of the administrative files concerning issues in Court Administration that are deemed by SCCA to be of such importance to warrant permanent retention.

Retention:

Agency: 6 years

State Archives: Selection of needed documentation, PERMANENT

357-0036 **Court Reporter Manual** A

Documents the policies and procedures established by the South Carolina Judicial Department and issued to all court reporters. Information includes instructions pertaining to court transcripts, court reporter records retention, expected behavior in certain situations, sample forms, and other information.

Retention:

Agency: Until updated or superseded

State Archives: PERMANENT

357-0037 **Annual Judicial Surveys** A

This series consists of the surveys used to compile the annual judicial survey of the South Carolina Judicial System. Included is the final survey report, correspondence, and the surveys from courts.

Retention:

Agency: Individual Surveys and Correspondence; 3 years; destroy.
Final Survey Report; 3 Years

State Archives: PERMANENT

357-0038 **Record Maintenance** A

This series is used to provide the guidelines for records maintenance for the judicial system of South Carolina. This series contains a Supreme Court Order relating to the procedure to be followed in maintaining records and the submitting of reports by the courts of the state.

Retention:

Agency: 10 years and until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

Judicial Department Records Schedule

Court Administration

357-0039 **Clerk of Court Manual** A

This series consists of the policies and procedures manual for the Clerks of Court of the South Carolina Judicial System and is intended to provide guidelines and recommendations for handling many of the typical problems and situations which come before the Clerk of Court.

Retention:

Agency: Until superseded

State Archives: PERMANENT

357-0040 **Appointment of Judges** A

This series consists of correspondence used in the appointing of administrative judges for family and circuit court in each of the circuits in South Carolina. In addition, this series contains correspondence used in appointing special judges in the Probate and Family Courts. The correspondence is directed to the actual appointments and the function or responsibilities of the appointments.

Retention:

Agency: 15 years after the terms of the Appointments have been rescinded or have expired.

State Archives: PERMANENT

357-0041 **South Carolina Court Administration Administrative Memoranda** A

This series consists of copies of administrative memoranda as issued by the South Carolina Court Administration and directed to the responsibilities, conduct, and activities of clerks of court, magistrates, and judges in South Carolina.

Retention:

Agency: 10 years

State Archives: PERMANENT

357-0042 **Court Scheduling** A

These records are used by Court Administration for the scheduling of court terms for the various courts within the South Carolina judicial system.

Retention:

Agency: 10 years

State Archives: Selection of needed documentation; PERMANENT

Court Administration

A

This series is used to establish the sessions of court and to designate the administrative judges for the unified judicial system of South Carolina. This series contains Supreme Court orders. In addition, any related or explanatory correspondence and memorandums will be retained in this series.

Retention:

Agency: 10 years

State Archives: PERMANENT

A

This series consists of records that reflect the actual terms of court as directed by the South Carolina Court Administration. These records contain information on the terms of court in general and the terms by county. This series contains records on the terms of the Circuit Courts and Family Courts.

Retention:

Agency: 10 years

State Archives: PERMANENT

D

This series consists of forms used to ensure that the compensation and reimbursement justices and judges receive for extra-judicial activities do not give the appearance of influencing a judge's performance of judicial duties, or otherwise give the appearance of impropriety. This series was created in compliance with Rule 501, Sec 4H of the Appellate Court rules.

Retention:

Agency: 15 years; destroy.

D

This file consists of approved minutes, tests, applications, requests to review tests, notices of pass/fail, letters of non-compliance to the Governor and Chief Justice, notices of intent to appeal, and copies of orders of the Supreme Court.

Retention:

Agency: 15 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0047 **Correspondence and Administrative Files of the Board of Magistrate Certification** D

General correspondence of the board includes draft minutes

Retention:

Agency: 3 years; destroy.

357-0048 **Grievances (General)** D

This series consists of correspondence that is used to provide reference to complaints received by the South Carolina Court Administration. Included are complaints involving procedural issues only.

Retention:

Agency: 6 years; destroy.

357-0049 **Courts (General Correspondence)** D

This series consists of correspondence used for general communication purposes between the South Carolina Court Administration and the courts of the South Carolina judicial system. These letters are received and sent to officers of the Circuit Courts, Probate Courts, Family Courts, Magistrates' Courts, Municipal Courts, and Master in Equity Courts. This correspondence is directed to such topics as meetings, visits by Court Administration employees, personnel matters, and various other administrative matters.

Retention:

Agency: 3 years; destroy.

357-0050 **General Information on the Judges of the South Carolina Judicial System** D

This file consists of the biographical information on the judges serving in the South Carolina judicial system. Included are election and personal information, resignations, and demographic information concerning the judge.

Retention:

Agency: 6 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0051 **Orders of the Chief Justice Affecting the Judicial System** D

This series consists of the orders issued by the Chief Justice affecting the courts of the judicial system. Included are the Circuit Courts, Probate Court, Magistrates' Court, Family Court, and Municipal Courts.

Retention:

Agency: 15 years; destroy.

357-0052 **Matters Under Advisement Files** D

This series consists of monthly report listing all matters taken under advisement for more than thirty days by Circuit Courts and Family Courts.

Retention:

Agency: 6 years; destroy.

357-0053 **Administrative Orders** D

This series consists of copies of administrative orders issued by the various judicial system judges to include the Circuit Courts, Family Courts, Probate Courts, Magistrates' Courts, and Municipal Courts.

Retention:

Agency: 6 years; destroy.

357-0054 **Advisory Committee Working Files** D

This series consists of the working files of the various advisory committees associated with the judicial system. Included are rough minutes, agendas, study materials, and drafts. Committees include those associated with the judges of the Circuit Courts, Family Courts, Probate Courts, Magistrates' Courts, Municipal Courts, Clerks of the Circuit Courts, and Court Reporters.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0055 **Training Programs (General)** D

This series is used to provide information on available training programs for judicial officials. These training programs are directed toward judges, clerks of court, and magistrates. This series consists of workshop and seminar information and related correspondence.

Retention:

Agency: 3 years; destroy.

357-0056 **Training (Judges)** D

This series consists of various records related to the training of judges. These records consist of such items as annual schedules, program schedules, announcement and registration information, rosters of attendees, attendees' evaluations and comments, and information concerning speakers and instructors. This series is used for planning purposes and contains sections on circuit courts, family courts, magistrate courts, and municipal courts.

Retention:

Agency: 6 years; destroy.

357-0057 **Approved Form Files** D

This series consists of approved forms and documentation of approval.

Retention:

Agency: 6 years and until superseded; destroy.

357-0058 **Form Files** D

This series consists of working files on forms used by Court Administration. Included are correspondence and routing for the approval of forms.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0059 **Scheduling Matters Files (General)** D

This series consists of routine scheduling requests; changes to the master schedule; and correspondence regarding the schedules, transmittals and working papers for the Circuit and Family Courts.

Retention:

Agency: 6 years; destroy.

357-0060 **Death Penalty Notification Files** D

This series consists of request made by solicitors for notification of intent to seek the death penalty and requests for appointment of judges.

Retention:

Agency: 6 years; destroy.

357-0061 **State Grand Jury Files** D

This series consists of State Grand Jury requests for special terms and the appointment of judges.

Retention:

Agency: 3 years; destroy.

357-0062 **Post Conviction Relief Matters Files** D

This series consists of general and follow-up correspondence of a routine nature relating to post-conviction relief matters.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0063 **Opinions (Attorney General)** D

This series consists of copies of Opinions issued by the South Carolina Attorney General's Office used for reference purposes by the agency. These Opinions are issued as a result of requests made by the South Carolina Court Administration concerning various aspects of the activities and responsibilities of the judicial system in the state.

Retention:

Agency: Until no longer needed for reference; destroy.

357-0064 **State Agency Files** D

This series consists of the general correspondence and administrative files between Court Administration and other state agencies of a routine and general nature.

Retention:

Agency: 3 years, destroy.

357-0065 **Professional Associations and Conferences** D

This series consists of correspondence, news releases, seminar information, workshop information, and publications that are used for reference purposes concerning various professional associations and conferences. Some examples of these organizations include the Institute for Court Management, National Center for State Courts, National College of the State Judiciary, Annual Southeastern Regional Conference of the Judiciary, Conference of State Court Administration, American Academy of Judicial Education, and American Judicature Society.

Retention:

Agency: Until no longer needed for reference; destroy.

357-0066 **Juries** D

This series contains reference material that is related to jury selection, jurors' qualifications, jurors' summons, panel sheets for juries, and instructional manuals.

Retention:

Agency: 6 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0067 **Legal Education (Judges)** D

These records are used for reference purposes concerning the continuing education of judges. The information in this series is in the form of pamphlets, booklets, and brochures that are concerned with various workshops, seminars, and study groups that are directed toward legal topics.

Retention:

Agency: 3 years; destroy.

357-0068 **Data Requests** D

This series consists of requests for information from state and federal agencies, individuals, and the media. Series contains correspondence, tracking logs, and billing information.

Retention:

Agency: 3 years; destroy.

357-0069 **Court Reporter Assignments** D

Letters used by Court Administration to make court reporter assignment changes to the master schedule for terms of Circuit Court. Information includes court reporter's name, date of assignment, county, and judge's name.

Retention:

Agency: 1 year; destroy.

357-0070 **Court Reporter Extensions** D

Used to document extensions granted to Circuit and Family Court reporters. Court reporters have 60 days in which to prepare a transcript for a case. If the court reporter is unable to produce a transcript in 60 days, they may apply for extensions of 30 day increments. Information includes case name, court reporter's name, date extension granted, extension due date, and the names of attorneys involved in the case.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Court Administration

357-0071 **Attorneys' Transcript Requests** D

Used by an attorney to order a transcript from a court reporter. Information includes date of hearing, name of court reporter, county, and judge's name.

Retention:

Agency: 3 years; destroy.

357-0072 **Court Reporter Examinations** D

Used to test state court reporter applicants. Information includes a grammar test section and a skills section which evaluates steno mask or steno type qualifications.

Retention:

Agency: 2 years from the date of the personnel action involved, or the creation of the records; destroy.

357-0073 **Affidavits** D

Used to inform the requestor of a transcript that the desired transcript cannot be located. Information includes date request received, who requested transcript, case name, and the date the case was heard.

Retention:

Agency: 3 years; destroy.

357-0074 **Complaints** D

Documents judges', attorneys', and citizens' complaints concerning court reporters' work performance, behavior, and other related concerns. Information includes correspondence to and from Court Reporting.

Retention:

Agency: 1 year after complaint is resolved; destroy.

Judicial Department Records Schedule

Court Administration

357-0075 **Collection Letters** D

Used to request payment from attorney to court reporter for transcripts requested. Information includes attorney's name, name of court reporter requesting payment, amount due, and date transcript delivered.

Retention:

Agency: 3 years; destroy.

357-0076 **Court Reporter Monthly Reports** D

This series consists of the monthly reports of the county court reporters. Includes reports of transcript states, pages pending, pages typed, and days in court.

Retention:

Agency: 2 years; destroy.

357-0077 **Monthly Court Reporter Schedules** D

Used to document the scheduling of court reporters for terms of Circuit Court and Family Court. Information includes date, county, name of judge assigned to, and court reporter's name.

Retention:

Agency: Until no longer needed for reference; destroy.

357-0078 **Court Reporter Quarterly/Yearly Statistical Activity Reports** D

Documents all court reporter activity, quarterly and yearly. Information includes number of transcript requests, number of pages requested to be typed, number of pages that were actually typed, pages pending, number of extensions requested, total days requested, average days used for extension, days taken on annual leave and/or sick leave, number of days in court and number of days out of court.

Retention:

Agency: Until no longer needed for reference; destroy.

Judicial Department Records Schedule

Court Administration

357-0079 **Court Reporter Quarterly Income Reports** D

Used to record the transcript fees collected by court reporters. Information includes court reporter's name, circuit, quarter ending, fees collected, gross income from quarter, date, and signature of court reporter.

Retention:

Agency: 2 years; destroy.

357-0080 **Jail Case Reports** D

This series consists of reports submitted monthly by solicitors listing jail cases pending for 90 days or more.

Retention:

Agency: 3 years; destroy.

357-0081 **Inmate Correspondence** D

This series consists of correspondence from inmates of the S.C. Judicial System. Topics include cases pending, appeals, complaints, and other inmate-related information.

Retention:

Agency: 3 years; destroy.

357-0082 **Summary Annual Reports** D

This series consists of the South Carolina Court Administration form "Magistrate's and Municipal Report to the Administration of the Courts" that is used by the Magistrates and Municipal Judges of the state to report their activities, on a periodic basis, to the South Carolina Court Administration. In addition, this form contains specific information on the number, type, status, and disposition of criminal cases, civil cases, and examining hearings. This form also contains information on the number and type of bail bonds set, number of arrest and search warrants issued and refused, number and type of counseling sessions held, and the number of Peace Bonds ordered. This series is filed alphabetically by county, and also contains the South Carolina Court Administration form "Summary of Magistrate/Municipal Court Information" which is a summarization of the annual report submitted by each court.

Retention:

Agency: 10 years; destroy.

Judicial Department Records Schedule

Office of Disciplinary Counsel

357-0155

**Office of Disciplinary Counsel Schedules to be added at
a later date**

D

Retention:

Judicial Department Records Schedule

Administrative

- 357-0200 **Meeting Minutes (Executive Levels)** A
- Used to document the meetings of an agency's executive staff which includes the director, Clerks of the Supreme Court and Court of Appeals, and the division directors. Information includes agenda, place, date, list of attendees, and a summary of discussions and decisions. Also included are informational attachments which are closely related to the meeting minutes.

Retention:

Agency: 3 years

State Archives: PERMANENT

- 357-0201 **Administrative Correspondence Files (Executive Levels)** A
- Correspondence is related to the administration of an agency or division. Communications concern coordination of programs, agency policy, and responsibilities of a non-routine nature that have an impact on the agency or its divisions. These letters are usually found at the agency director, Clerks of the Supreme Court and Court of Appeals, and division director levels.

Retention:

Agency: 3 years

State Archives: Selection of needed documentation; PERMANENT

- 357-0202 **Administrative Files (Executive Levels)** A
- Document actions of an agency director, Clerks of the Supreme Court and Court of Appeals, and division directors. Information includes memoranda and reports concerning agency policy, organizational and program development records, non-routine fiscal data, personnel information and related notes. These records reflect administration of policy, coordination of agency functions, and management of program activity.

Retention:

Agency: 3 years

State Archives: Selection of needed documentation; PERMANENT

- 357-0203 **Agency Website Snapshot** A
- A snapshot is a point-in-time capture of the content, presentation, and functionality of the department's website. The intent of the snapshot is to capture web-published information on agency programs including images, documents, text, formatting code, etc, but not pages external to the site. The snapshot will create and maintain a digital record that is as full and complete as possible for a given point in time. A snapshot is not a back-up copy; rather, it is a digital record that will be readable on other platforms. Snapshots shall be taken annually and whenever a major change is made to the website. SCDAH is currently capturing snapshots of state agency web sites through a third party internet crawl service.

Retention:

State Archives: PERMANENT

Judicial Department Records Schedule

Administrative

357-0204 **Agency Annual Reports** A

Published report of agency activities made annually to the General Assembly. Information includes financial summaries, objectives, goals, and other data concerning the agency during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the agency.

Retention:

Agency: Until no longer needed for reference.

State Archives: PERMANENT

357-0205 **Agency Organizational Charts** A

Reflect the organizational structure of the agency and its divisions. Information includes a diagram which shows a systematic and symbolic arrangement of an agency's divisions and program areas by name and function.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

357-0206 **Internal Management Policy and Procedure Files** A

Policies, procedural directives, and manuals developed by the agency to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

Retention:

Agency: Until superseded, updated, or no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

357-0207 **Legislative Reference Files** A

Records pertaining to bills, prospective legislation, and laws. Information includes bill and supporting material concerning proposed legislation such as newspaper clippings, reports, and correspondence. The series also includes copies of approved legislation.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

Judicial Department Records Schedule

Administrative

357-0208 **Litigation Case Files** A

Document judicial proceedings which involve the agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Portions of this series are scheduled for permanent retention by the State Archives through the Attorney General's office. Court records in this series are also available in the court having jurisdiction over these cases.

Retention:

Agency: 6 years after the case is closed.

State Archives: Selection of needed documentation; PERMANENT

357-0209 **Agency Publications** A

Printed materials published by state agencies for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other agency publications (except annual report).

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed Documentation; PERMANENT

357-0210 **Permanent Improvement Files** A

Files concern construction of and permanent improvements to the agency's facilities. Information includes project proposal, capital improvement requests, authorizations to execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications. Records created after 1980 may be destroyed after the project is complete and no longer needed for reference.

Retention:

Agency: Pre-1980: Until completion of construction project and no longer needed for reference.
1980-on: Until completion of construction project and no longer needed for reference; destroy.

State Archives: Pre-1980: Selection of needed documentation; PERMANENT

357-0211 **Photographs** A

Photographic proofs and negatives of agency activities. Photographs may include identification according to time, place, and agency activity.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

Judicial Department Records Schedule

Administrative

357-0212 **Speeches (Executive Levels)** A

Final copies of speeches given by an agency director, Clerks of the Supreme Court and Court of Appeals, and division directors. Speeches may concern policy issues, strategic planning, legislation concerning the agency, and other related topics.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

357-0213 **Surveys/Maps** A

Developed by an agency to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

357-0214 **Public Relations Files** A

Information concerning agency publicity. Included are press releases, biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

357-0215 **Annual Accountability Reports** D

Used to determine whether an agency is effectively achieving its legislative mission and program objectives. This record series is prepared by all state agencies and submitted to the Budget and Control Board for distribution to the General Assembly and the Governor's Office. Information includes an agency's mission statement, program objectives, work performance measurement data, analysis of program cost allocations, and other related information. The record copy of this series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Budget.

Retention:

Agency: Until no longer needed for reference; destroy

Judicial Department Records Schedule

Administrative

357-0216 **Meeting Minutes (Non-Executive Levels)** D

Used to document the meetings of agency staff below the agency director, deputy director, and division director levels. Meetings may also include non-agency attendees. Information includes agenda, location, date, list of attendees, attachments, and a summary of discussions and decisions.

Retention:

Agency: 2 years; destroy.

357-0217 **Administrative Reference Files (Non-Executive Levels)** D

Routine office management files retained below the agency director, Clerks of the Supreme Court and Court of Appeals, and division director levels, but shall include the files of staff attorneys, which are privileged and not available to the public. Included are memoranda, reports, information concerning cases, motions, rule changes, printed matter, and other reference materials. Topics include: job activities, program material, general office information, professional associations, charitable affairs, parking for staff, disaster preparedness, and other related topics.

Retention:

Agency: Until no longer needed for reference; destroy.

357-0218 **Contracts** D

Used to document the contractual relationship between agencies and service providers. Information includes the contract with description of the services to be provided, dates of the contract, signatures, and correspondence.

Retention:

Agency: 3 years after cancellation or expiration of the contract; destroy.

357-0219 **Calendars** D

Used to keep track of work-related events and commitments of agency staff members. Information includes daily appointment books, calendars, and other records indicating dates for meetings and work activities.

Retention:

Agency: Until no longer needed for reference; destroy.

Judicial Department Records Schedule

Administrative

- 357-0220 **Conferences, Workshops, and Seminars (Agency Sponsored)** D
- Files concerning each conference, workshop, or seminar sponsored by the agency. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

Retention:

Agency: Until no longer needed for reference; destroy.

- 357-0221 **Deeds and Leases to State Property Files** D
- Document deeds and leases to real property owned or used by the state. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence. The record copies of deeds and leases are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of General Services.

Retention:

Agency: Until property is sold, disposed of, or relinquished, and is no longer needed for reference; destroy.

- 357-0222 **General Correspondence (Non-Executive Levels)** D
- Routine correspondence created or retained below the levels of agency director, Clerks of the Supreme Court and Court of Appeals, and division director, but shall include the files of staff attorneys, which are privileged and not available to the public. Letters and memoranda reflect communications regarding program procedures, general work activities, and responses to information requests.

Retention:

Agency: Until no longer needed for reference; destroy.

- 357-0223 **Mailing Lists** D
- Used to record the names and addresses of clients and other persons with whom the agency has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituents with whom agency staff communicate regularly.

Retention:

Agency: Until superseded; destroy.

Judicial Department Records Schedule

Administrative

357-0224 **Motor Vehicle Insurance** D

Record of motor vehicle insurance retained by an agency. It includes insurance policies which list effective policy dates, amounts of coverage, number of vehicles covered, and rate. Also included are notes, correspondence and other related information.

Retention:

Agency: 1 year and until renewal of insurance policy; destroy.

357-0225 **Motor Vehicle Operations and Maintenance Files** D

Files of motor vehicle operations and maintenance. Included are requests for state vehicles, vehicles inspection/use reports, motor vehicle accident reports, motor vehicle inventories, and other related information.

Retention:

Agency: 3 years; destroy.

357-0226 **Property Inventories** D

Itemized lists of fixed assets (except land and buildings) completed by state agencies. Information includes inventories of equipment, furniture, and other similar property.

Retention:

Agency: 3 years; destroy.

357-0227 **Disaster/Emergency Preparedness and Recovery Plans** D

Document the plans for protection and reestablishment of agency services and equipment in case of disaster. Information includes plan, procedures, checklists, and emergency phone numbers, and addresses.

Retention:

Agency: Until superseded by revised plan; destroy.

Judicial Department Records Schedule

Administrative

357-0228 **Records Management Files** D

Files related to an agency's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data.

Retention:

Agency: Until superseded and no longer needed for reference; destroy.

357-0229 **Speeches (Non-Executive Levels)** D

Final copies of speeches given by employees below the level of agency director, Clerks of the Supreme Court and Court of Appeals, and division directors. Speeches concern program procedure, work activities, and related topics.

Retention:

Agency: Until no longer needed for reference; destroy.

357-0231 **Work Reports** D

Reports of work activities performed by personnel carrying out regular or special duties. Series does not include published project reports or reports to the Governor or General Assembly. These documents reflect dates, person responsible for report, and a running account of activities performed.

Retention:

Agency: 2 years or until summarized or superseded; destroy.

Judicial Department Records Schedule

Financial Services

357-0232 **General & Subsidiary Ledgers** A

One or more series of computer or non-computer-generated financial ledgers providing final year-to-date summary accounting data, and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all agency funds and accounts, including receipts and expenditures from all revenue sources, both public and private. Electronic records include annual accounting code data and computer system documentation needed to access accounting information. Since fiscal year 1981, accounting transactions have been captured in the Statewide Accounting and Reporting Systems of the Comptroller General's Office. Selected records generated by this centralized accounting and reporting system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: Ledgers created after FY 1980/1981: 3 years; destroy.

State Archives: Ledgers created in or before FY 1980/1981: PERMANENT

357-0233 **Reconciliations** D

Used monthly to reconcile an agency's record of internal accounting balances with recorded accounting balances from the Comptroller General's Office and the State Treasurer's Office. Information includes cash, expenditure and revenue account balances by mini code, subfund and/or object code; Statewide Accounting and Reporting System data; cash, investment and debt account balances at the State Treasurer's Office, if applicable; an explanation of exceptions or discrepancies; and related information.

Retention:

Agency: 3 years; destroy.

357-0234 **Schedule of Federal Financial Assistance** D

Used annually to report the federal financial activity of a state agency to the State Auditor's Office. The State Auditor's Office uses this information to prepare the Statewide Schedule of Expenditure of Federal Awards. Information includes title of federal program or grant, project and phase code, grant number, starting fund balance, receipts, expenditures, other additions, other deductions and ending balance.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0235 Sole Source Procurement Files D

Used to document procurements made when there is only one source for the required supply, service or construction item. This file contains Justification for Sole Source Procurement, Record of Sole Source Contracts, and Quarterly Reports of procurement actions. Information includes type of procurement, the basis for sole source determination, the reason no other vendor is suitable, date, name of governmental body, authorized signature and title. Also included is the purchase order number, item description, commodity code, dollar amount, each contractor's name, the amount and type of each contract, and a listing of supplies, services, or construction procured under each contract. Copies of quarterly reports concerning procurement actions are scheduled to be retained for five years by the State Budget and Control Board's chief procurement officers.

Retention:

Agency: 3 years; destroy.

357-0236 Trade-In Document Files D

Used to document trade-in sale transactions which reflect property that is traded-in as partial or full payment for an agency purchase. This file contains Request for Trade-In Document and Record of Trade-In Sales. Information includes agency's name, address, requestor's name, location of property, agency contact person for viewing property, indication whether trade-in is being applied to sole source, and new purchase. Also included are commodity code, description, purchase date, make, model-serial number, trade-in value, net cost, new item purchase order number, and related information.

Retention:

Agency: 3 years; destroy.

357-0237 Accounts Receivable Journal D

Used to keep track of receipts and basic revenue for all agency accounts. Information includes: account number, batch date, invoice number, date, control number type, payment date, invoice, debits, credits, and other related data.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0238 **Appropriation Transfer** D

Authorization for the transfer of administrative and/or program funds between different programs, funds, subfunds, and objects of expenditure within the agency. Information includes agency number, agency batch number, object code, credited to, debited from, reason for transfer, requested by, date, and signature of State Budget Analyst. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0239 **Bank Deposits** D

Document the deposit of funds into agency bank accounts. Included in the series are bank deposit forms, deposit slips, or receipts. Information may also include State Treasurer's Receipt and letter of credit for recording federal deposits.

Retention:

Agency: 3 years; destroy.

357-0240 **Budget Publications** D

Reflect various phases in the development and approval of the state's annual budget. Information includes the South Carolina State Budget as submitted by the State Budget and Control Board, General Appropriations Bill(s), Analysis of Change documents, appropriation summaries, Appropriations Act, and other related information. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently by the State Archives.

Retention:

Agency: 3 years; destroy.

357-0241 **Budget Working Papers** D

Used to prepare the agency's annual budget requests and budget detail. Information includes a copy of the agency's proposed budget, allocation schedules, Budget and Control Board recommendation forms, general budget memoranda, back-up materials, and supporting documents for Budget and Control Board agenda items and legislative committees appropriation items. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0242 **Cash Receipts File and Journal** D

Cash receipts received by an agency from customers for the sale of services and commodities. Also included is the Cash Receipts Journal. Cash receipts reflect amount of sale, description of services or items sold, amount of money received, and sale date. The Cash Receipts Journal reflects date, sale description, purchase authorization number, and voucher/receipt number.

Retention:

Agency: 3 years; destroy.

357-0243 **Chart of Accounts** D

Records of accounts received from the Comptroller General's Office which lists line item accounts contained in the Annual Appropriations Act. Also included is the Preliminary Chart of Accounts which lists account titles, program number, mini-code, subfund, object code, and amount of final appropriation. The record copy of this series is retained in the Comptroller General's Office, as scheduled.

Retention:

Agency: 3 years; destroy.

357-0244 **Contingency Check Register** D

Agencies' list of all checks that are payable for travel and vendor expenses. Information includes payee, department number, account number, transaction code, warrant number, warrant amount, check number, and check amount.

Retention:

Agency: 3 years; destroy.

357-0245 **Detail Budget** D

Prepared by an agency during the first phase of the budget process to reflect all revisions necessary to balance budget allocations, as submitted to the Budget Division of the State Budget and Control Board. Information includes program level, budget code, detail of expenditure, fiscal year, actual total funds, operating budget, estimated total funds, appropriated general funds, estimated federal funds, estimated earmarked funds, and estimated restricted funds. Budget information is contained in the Annual Appropriations Act, a copy of which is being retained permanently in the State Archives.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0246 **Disbursement Journal** D

A listing of disbursement vouchers prepared by the agency to authorize payment of expenses incurred. Information includes voucher number, date, amount of disbursement, and to whom payment was made.

Retention:

Agency: 3 years; destroy.

357-0247 **Disbursement Vouchers** D

Official copies of vouchers prepared by an agency and sent to the Comptroller General's Office to request payment for agency expenditures. Information includes disbursement voucher number, date, description of transaction, amount, and total. Accounting transaction have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0248 **External Procedure Manuals** D

Guidelines used by state agencies to report financial transactions. Examples include Comptroller General's Generally Accepted Accounting Principles (GAAP) Closing Procedures Manual, Policies and Procedures of the State Comptroller General; Budget and Control Board's Budget Request Manual, Detail Budget Preparation Manual, State Procurement/Information Technology State Terms Contract Manual, and Information Technology Contact Catalogue.

Retention:

Agency: Until updated, superseded, or no longer needed for reference; destroy.

357-0249 **Generally Accepted Accounting Principles (GAAP)
Closing Packages** D

Closing packages consist of GAAP forms submitted annually to the Comptroller General's Office to indicate year end adjustments for GAAP reporting. Information includes annual financial statement, the agency's name, due dates, purpose or objective, area of accounting data, any action to be taken, description, and dollar amount. Selected portions of this series are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0250 **Generally Accepted Accounting Principles (GAAP)
Reporting System Working Papers** D

Working papers consist of notes, working drafts and copies of GAAP forms used to support all entries in an agency's closing package for GAAP reporting. Information includes date, computations, analysis, justifications, recommended adjustments for GAAP reporting, and other related information.

Retention:

Agency: 3 years; destroy.

357-0251 **Insurance Policies Files** D

Document agency insurance policies and related correspondence and memoranda. Policies concern group hospital insurance, automobile liability, fire and extended coverage, and tort liability. Contents include endorsements from the Insurance Reserve Fund, renewals, changes, copies of policies, correspondence, information from insurance seminars, and a listing of office contents and their values.

Retention:

Agency: Until no longer needed for reference; destroy.

357-0252 **Interdepartmental Transfer (IDT) Vouchers** D

Prepared and used by an agency to request transfer of funds to another agency to pay for services rendered. Information includes voucher number, date, payee, charged to, warrant number and date, authorization, official title of person authorizing payment, organizational number, fiscal year, account number, account with, transaction code, amount charged, and total amount charged. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0253 **Journal Vouchers and Entries** D

Used to make any adjustments or corrections to accounting records for the agency. Information includes month, day, year, journal entry number, account number, department, fund, class, debit, credit, remarks, total, requested by, and authorized signature. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0254 **Purchase Orders/Requisitions** D

Official copies of purchase orders/requisitions used by state agencies to authorize the purchase of supplies, equipment, and services. Included are Purchase Orders, Purchasing Requisitions, and related invoices. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0255 **Receipt Books** D

Record of funds received directly from patrons and applicants in payment of such expenses as billable services for patrons, licensing fees, examination charges, and other fees for which the agency receives payment. Information includes receipt date, receipt number, receipt of, amount of payment, and account name and/or account number.

Retention:

Agency: 3 years; destroy.

357-0256 **Emergency Procurement File** D

Used to document the purchase of authorized emergency procurements. This file contains a Justification for Emergency Procurement, a Record of Emergency Contracts, and quarterly reports of procurement actions. Information includes type of emergency procurement, name of vendor, the basis for the emergency determination, date, the reason no other vendor is suitable, name of governmental body, and authorized signature. Also included are purchase order number, date, item description, commodity code and dollar amount, each contractor's name, the amount and type of each contract, and a listing of supplies, services, or construction procured under each contract. Copies of quarterly reports concerning procurement actions are scheduled to be retained for five years by the State Budget and Control Board's chief procurement officers.

Retention:

Agency: 3 years; destroy.

357-0257 **Small and Minority Business Reporting File** D

Reports prepared quarterly by an agency and used to ensure that businesses owned and operated by minorities are afforded the opportunity to fully participate in the overall procurement process of the state. Information includes Budget Expenditure-Construction/Renovation Information Forms and Procurement Information Forms.

Retention:

Agency: 5 years after becoming inactive; destroy.

Judicial Department Records Schedule

Financial Services

357-0258 **State of South Carolina Comprehensive Annual Financial Report** D

Agency copies of published reports generated by the Comptroller General's Office and used to provide a comprehensive analysis of the financial activities and fiscal status of state government during the reporting period (fiscal year). Information contained in the report includes an introductory section, general purpose financial statements (overview), and a section titled Combining Financial Statements which includes information on special revenue funds, internal service funds, and fiduciary funds. Also included in the report is a statistical section which contains information concerning state expenditures, revenues, income and sales tax rates, demographic statistics, and net general obligation bonds and notes per capita. The report is generated annually for the fiscal year according to generally accepted accounting principles and distributed by the Comptroller General's Office. Copies of this series are scheduled to be retained permanently by the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0259 **Statewide Accounting and Reporting System (STARS) Financial Reports** D

Generated by the Comptroller General's Office to record the STARS financial transactions of the agency. Examples of the reports include Appropriation Balances, General Fund Control and Cash Status Report, Agency Transaction Register, Appropriation Transaction Detail, Analysis of Expenditures by Minor Object (Program Level and Agency Wide), Summary of Expenditures (By Program and By Fund) and other related reports. Information in this series may be generated daily, weekly, monthly, and annually. Portions of this record series are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: Daily & weekly reports: 1 month; destroy
Monthly & annual reports: 3 years; destroy.

357-0260 **Surplus Property Disposal Reports** D

Filed by an agency with the State Budget and Control Board, Division of General Services, Materials Management Office, regarding surplus property. Information includes date acquired, cost, property category, description, manufacturer's identification number, and agency identification number.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0261 **Transmittal Control Sheet** D

Prepared by agency to serve as a cover sheet for batches of documents sent to the Comptroller General's Office for processing. Information includes agency name and number, date, batch number, batch amount, batch type, payee names, and total value.

Retention:

Agency: Keep until the end of the fiscal year; destroy.

357-0262 **Travel Vouchers** D

Vouchers prepared by an agency to claim reimbursement for employee travel expenses. Information includes name, address, Social Security number, agency and amount to be reimbursed. Accounting transactions have been captured in the Statewide Accounting and Reporting System of the Comptroller General's Office. Selected records generated by this system are scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0263 **Vendor Code Requests** D

Forms prepared by an agency to request a vendor code from the State Budget and Control Board, Division of General Services, when the agency wants to purchase goods or services from a vendor not presently listed in the state purchasing system. Information includes vendor name, address, and new number (assigned by the Division of General Services, State Procurement).

Retention:

Agency: Until superseded, updated, or no longer needed for reference; destroy.

357-0264 **Contracts, Warranties and Service Agreements** D

Used to document the contractual relationship between agencies and service providers. Information includes contract with description of service to be provided, records of service performed, costs, and related correspondence and memoranda.

Retention:

Agency: 3 years after expiration of contract or termination of agreement; destroy.

Judicial Department Records Schedule

Financial Services

357-0265 **Electronic Funds Transfer Prenote Report and Active Lists** D

Reports generated by State Treasurer's Office. Identifies status of EFT for employees who have signed an authorization form. Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit are maintained in the employee's personnel file. Information includes employee name, name of financial institution; copy of deposit slip and other related information.

Retention:

Agency: 3 years; destroy.

357-0266 **Employer Contribution Reports** D

Created by the South Carolina Employment Security Commission and used to verify earnings of the agency's employees. Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in South Carolina covered by the report and signature, title, date of individual filling out the report, and other documents concerning taxable and non-taxable wages of employees. Copies of this series are retained in the Employment Security Commission, as scheduled.

Retention:

Agency: 3 years; destroy.

357-0267 **Health Dental and Optional Life and Other Insurance Reports** D

Generated by the State Budget and Control Board, Division of Insurance Services, to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due, and other related information. Copies of this series are retained in the State Budget and Control Board, Division of Insurance Services, as scheduled.

Retention:

Agency: 3 years; destroy.

357-0268 **Payroll Adjustment Forms** D

Forms authorize the agency to deduct money from employee wages. Information includes name, Social Security number, amount, description of deduction, payroll period beginning date, and other related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years after termination of employment or cancellation of the authorization; destroy.

Judicial Department Records Schedule

Financial Services

357-0269 **Payroll Check Register** D

Generated by the State Treasurer's Office, and used to record the agency's payroll disbursements. Information includes employee name, Social Security number, agency number, check number, and other related information. Copies of this series are retained in the State Treasurer's Office, as scheduled.

Retention:

Agency: 3 years; destroy.

357-0270 **Payroll Deductions** D

Deduction records generated by the Comptroller General's Office and used by a state agency to reference types and amounts of deductions from paychecks. Information includes agency name, employee name, type of deduction, amount, and other related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0271 **Payroll Register (Regular)** D

Generated by the Comptroller General's Office and used by a state agency to reference year-to-date pay and deductions from paychecks. Information includes employee name, Social Security number, gross pay, tax deductions, FICA, retirement, insurance, net pay, other deductions, and related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0272 **Payroll Vouchers** D

Used to verify the payroll and request payment to the Comptroller General for salaries of agency employees. Information includes name of agency, agency number, pay period, mini code, subfund code, project code, object code, name and Social Security number, gross pay, perquisite, initials, multi-purpose code, gross payroll amount, signature and title of approving authority. Also includes reports and documentation for changes to STARS Payroll system. Payroll information is summarized in the Payroll Warrant Register which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0273 **Payroll Warrant Registers** D

Generated by the Comptroller General's Office and used by state agencies to document payroll disbursements. Information includes warrant number, mini code, object code, employee name, Social Security number, gross pay, tax deductions, FICA, retirement, insurance, net pay, and other related information. Record copies of this series are scheduled to be retained permanently by the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0274 **Projected Payroll Biweekly Totals by Accounting System Breakdown** D

Used to project biweekly totals of the payroll for the agency. Information includes pay period dates, agency code number, mini code, subfund, object code, and total amount of projected payroll expenditure from the account, and other related information. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0275 **Social Security Reports (Unified Wage Reporting Plan by Unit)** D

Used to record social security information on employees. Information includes name, Social Security number, year-to-date taxable and nontaxable income, FICA, federal and state income taxes. Payroll information is summarized in the Payroll Warrant Register, which is scheduled to be retained permanently in the State Archives through the Comptroller General's Office.

Retention:

Agency: 3 years; destroy.

357-0276 **Standard Retirement System Quarterly and Monthly Reports** D

Received from the State Budget and Control Board, Division of Retirement Systems, indicating employee retirement contributions. Information includes employer, employee, Social Security number, active member register number, non-member number, contributions, service credit, and other related information. Copies of this series are retained in the State Budget and Control Board, Division of Retirement Systems, as scheduled.

Retention:

Agency: 3 years; destroy.

Judicial Department Records Schedule

Financial Services

357-0277 **Workers' Compensation Insurance Files** D

Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums; a form to the State Workers' Compensation Fund reflecting the total amount due and payment due date with attached memos; and a Workers' Compensation Insurance Quarterly Report reflecting the code, agency, source of funds, total salaries for the quarter, amount of payment due, totals, certified correct and authorizing signatures.

Retention:

Agency: 3 years; destroy.

357-0278 **Fixed Asset Records** D

File holding detailed information for each asset added to a fixed asset system. Includes a description of asset, purchase price of asset, source of funding, useful life, and other pertinent information. Individual files are maintained until asset is disposed of. Information is then transferred to a disposal file.

Retention:

Agency: 3 years following disposal; destroy.

357-0279 **Grant Files** D

Files maintained for each grant award. Complete documentation from beginning of grant award to close of grant. Includes grant application and award, original budget and changes, work papers, copies of disbursement vouchers, asset records, documentation of grant revenue, and other supporting documentation.

Retention:

Agency: 3 years following audit, closure of audit findings, and resolved issues; destroy.

Judicial Department Records Schedule

Human Resources

357-0285 **Personnel Policies and Procedures** A

Policies and procedures issued by the agency or the State Budget and Control Board's Office of Human Resources. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen's compensation plan, and other procedures issued by an agency and/or the Office of Human Resources. Portions of this series are scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Human Resources.

Retention:

Agency: Until no longer needed for reference.

State Archives: Selection of needed documentation; PERMANENT

357-0286 **Employer Status Reports (Unemployment Compensation)** D

Reports from an individual agency to the Employment Security Commission which are used by the Employment Security Commission to determine the liability or non-liability of agency for payment of unemployment compensation. Information includes the Employer Status Report, Notice of Liability sent to the agency from the Employment Security Commission, Notice of Contribution for the next calendar year, and related memoranda and correspondence concerning changes in agency unemployment compensation accounts and liability. The record copy of this series is scheduled by the State Archives through the Employment Security Commission.

Retention:

Agency: 6 years destroy.

357-0287 **Employment Applications (Not Hired)** D

Completed employment applications and personal resumes of applicants who were not hired by agency. Information includes applicant's name, address, Social Security number, position applied for, educational background, work experience, and other related information.

Retention:

Agency: 2 years from the date of rejection or making of the record; destroy.

Judicial Department Records Schedule

Human Resources

357-0288 **Equal Employment Opportunity Report** D

Documents the job classification and compensation of all agency personnel. Information includes class code, slot, name, Social Security number, employee number, pay rate, state/federal funding, race and sex.

Retention:

Agency: 2 years from the date of the personnel action involved or the making of the record; destroy.

357-0289 **Equal Employment Opportunity Reporting and Personnel Research Forms** D

Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Human Affairs Commission. The form, which is detached from the employment application, lists the applicant's name, date, Social Security number, date of birth, position applied for, race, sex, and marital status.

Retention:

Agency: 2 years from the date of the personnel action involved or the making of the record; destroy.

357-0290 **Employee Grievance Files** D

Document grievance proceedings initiated by state employees. Information includes copies of each grievant's original grievance filing, copies of the decisions rendered at each level of the grievance procedure, copies of the grievance and appeal procedures for the agency and for all state employees, and copies of the final decision rendered by the State Employee's Grievance Committee. Portions of this series are scheduled by the State Archives through the State Budget and Control Board's Office of Human Resources.

Retention:

Agency: 10 years; destroy.

357-0291 **Job Announcements (Vacancies)** D

Announcements concerning job openings in state government. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.

Retention:

Agency: 2 years after position is filled or announcement is superseded or updated; destroy.

Human Resources

Record of the amount of leave earned and taken by agency employees. Information includes employee's name, type of leave (annual, sick, other), service date, Social Security number, amount of leave earned and charged, and leave balances for the period covered.

Agency: 3 years; destroy.

Forms completed by agency employees to request time off from work. Information includes employee's name, Social Security number, type of leave, number of days or hours requested, date requested, and employee's signature.

Agency: 3 years; destroy.

File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

Agency: Until superseded, updated, or no longer needed for reference; destroy.

Personnel files of current and former employees of the agency. Information includes employment applications, letters of recommendation, employee awards, resumes, performance appraisals, leave records, Employee Profile, Comptroller General's Payroll Advice, position descriptions, insurance information, dual employment information, resignation and termination records, correspondence, and other related information.

Agency: 15 years after termination of employment; destroy.

Judicial Department Records Schedule

Human Resources

357-0296 **Time and Attendance Records** D

Records concerning time worked by agency employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

Retention:

Agency: 3 years; destroy.

357-0297 **Vacancies Files** D

Documents position vacancies in agency. Information includes agency name, grade, classification title, salary range, hours worked per week, and pay rate of position.

Retention:

Agency: Until superseded or updated; destroy.

357-0298 **Log and Summary of Occupational Injuries and Illnesses** D

Record of work-related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury or illness, fatalities, non-fatal injuries with lost workdays, injuries without lost workdays, and other related information.

Retention:

Agency: 5 years following the end of the calendar year to which they relate; destroy.

Judicial Department Records Schedule

Information Systems and Technology

357-0303 **Computer Utilization Summaries** D

Generated to determine staff use of an agency's computer systems. Information details the total time the system is used, amount of individual staff time the system is used, and total time work stations are used (including job queue and printers).

Retention:

Agency: 3 years; destroy.

357-0304 **Information Technology Plans** D

Prepared by state agencies outlining their anticipated needs for information technology. Plans reflect information requirements, equipment needs, service specifications, cost, and technology purchase requests. The record copy of this series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Research and Statistics.

Retention:

Agency: 3 years; destroy.

357-0305 **Automated Program Listing/Source Code** D

Program code which generates the machine language instructions used to operate an automated system, either paper or electronic.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

357-0306 **Computer Run and Scheduling Requests** D

Used to schedule computer runs. Information includes daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

Judicial Department Records Schedule

Information Systems and Technology

357-0307 **Computer System Test Files** D

Created solely to test system or program performance, as well as related printouts and documentation.

Retention:

Agency: After user approves test results and until no longer needed for reference; delete or destroy.

357-0308 **Computer Usage Files** D

Used to monitor computer system usage. Information includes electronic files or automated logs, log-in files, system usage files, data entry logs, summary computer usage reports, audit trail files, valid transaction files, and records of individual and network computer program usage.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

357-0309 **Data/Database Dictionary Reports** D

Periodic printouts from a data/database directory system. Information includes data element attribute reports, database scheme, and related records used for reference purposes.

Retention:

Agency: Until superseded or no longer used by agency; destroy.

357-0310 **Data Processing Hardware Documentation** D

Documents the use, operation, and maintenance of an agency's data processing equipment. Information includes operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.

Retention:

Agency: Until no longer needed for reference or until hardware is disposed of; delete or destroy.

Judicial Department Records Schedule

Information Systems and Technology

357-0311 **Data Processing Subject Files** D

Used to support the administration of agency data processing services. Information includes correspondence, memoranda, reports, and reference publications.

Retention:

Agency: Until superseded or no longer needed for reference; delete or destroy.

357-0312 **Disaster Preparedness and Recovery Plans** D

Documents the protection and reestablishment of data processing services and equipment in case of a disaster. Information includes procedures, checklists, and emergency phone numbers, and addresses.

Retention:

Agency: Until superseded by revised plan; delete or destroy.

357-0313 **Downloaded and Copied Data** D

Used to distribute data to individuals or program units for reference and use. Information includes downloaded, copied, merged and/or derived data not altered or augmented to support program-specific needs.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

357-0314 **Finding Aids (or Indexes)** D

Used to facilitate the search and/or retrieval of electronic information/records. Information includes indexes, lists, registers, and other finding aids.

Retention:

Agency: Until no longer needed for reference or when related records are destroyed, whichever is later; delete or destroy.

Judicial Department Records Schedule

Information Systems and Technology

357-0315 **Input/Source Documents** D

Used solely as input for a digital master file or database. Also used to create, update, or modify the records in an electronic medium and not required for audit and legal purposes. Information includes non-electronic documents and/or forms, uncalibrated and invalidated digital or analog data collected during observation or measurement activities or research and development programs.

Retention:

Agency: Until the information has been converted to an electronic medium, or when no longer needed to support the reconstruction of the master file, whichever is later; delete or destroy.

357-0316 **Inventories of Circuits** D

Documents network circuits used by the agency. Information includes automated or paper records, circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.

Retention:

Agency: Until updated, superseded, or no longer needed for reference; delete or destroy.

357-0317 **Network Site/Equipment Support Files** D

Used to document support services provided to specific sites and computer to computer interfaces on a network. Information includes site visit reports, trouble reports, service histories, and related correspondence.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

357-0318 **Print Files** D

Used to produce hard copy publications and/or printouts of tabulations, ledgers, registers, and reports. Information includes unaltered files extracted from a master file or database.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

Judicial Department Records Schedule

Information Systems and Technology

357-0319 **Records of Chargebacks to Data Processing Services Users** D

Used to document and calculate costs, and bill program units for computer usage and data processing services. Information includes electronic and manual records. These records are also used for cost recovery, budgeting, or administrative purposes.

Retention:

Agency: 3 years after creation; delete or destroy.

357-0320 **Security Backup Files** D

Electronic file maintained to backup the master file or database in case the master file or database is damaged or inadvertently erased. Information consists of data identical in physical format to a master file or database.

Retention:

Agency: 3 database/master file backup cycles; delete or destroy.

357-0321 **Summary or Extracted Data Files** D

Used to distribute data to individuals or program units for reference and use. Information consists of summary or aggregate data from a master file or database.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

357-0322 **System Documentation (Non-Permanent Systems)** D

Used to plan, develop, operate, and maintain electronic records and software. Information includes data systems specifications, file specifications, code books, records layouts, user guides, output specifications, system instructions, tutorials, reference guides, final reports, and other related documentation.

Retention:

Agency: Until superseded, updated, or no longer needed for reference; delete or destroy.

Judicial Department Records Schedule

Information Systems and Technology

357-0323 **System Users Access Records** D

Used by system administrators to control or monitor users' access. Information includes user account records, security logs, and password files.

Retention:

Agency: Until superseded, updated, or no longer needed for reference; delete or destroy.

357-0324 **Technical Reformat Files** D

Used to document information interchange of master files or databases. Information includes electronic files written with varying technical specification consisting of data copied from a master file or database.

Retention:

Agency: Until no longer needed for reference; delete or destroy.

Requirements and Recommendations for Implementing the Records Retention Schedule

Under the *Code of Laws of South Carolina, 1976*, Section 30-1-90(D), “No records of long-term or enduring value created, including those filed, kept, or stored electronically, or those records converted from paper to magnetic, optical, film, or other media in the transaction of public business may be disposed of, destroyed, or erased without an approved records schedule.” Section 30-1-90(A) provides that state government departments and agencies must assist the SCDAH in “establishing records schedules mandating a time period for the retention of each series of records.” Upon approval by the executive officer or appointed records officer of the department or agency and the Director of the Archives or his designee, the preceding list of agency records will constitute the official records schedule for the South Carolina Judicial Department. This records schedule authorizes the legal disposition of the department’s records as stipulated herein.

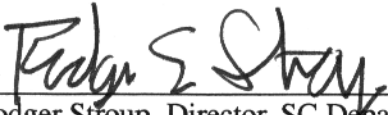
The Judicial Department should make every effort to maintain a quality record-keeping program through the following activities:

- In accordance with Section 30-1-20 of the *Code of Laws of South Carolina, 1976* as amended, the SCDAH recommends that the department continue to support its records officer in implementing the following duties and responsibilities:
 - Ensuring the development of quality record-keeping systems that meet the business and legal needs of the department
 - Coordinating the transfer and destruction of records
 - Ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards
 - Ensuring the regular implementation of the department’s approved records schedule
 - Appointing individuals, as needed, to serve as records liaison officers within the department
 - Working regularly with SCDAH staff to keep the records schedule current and to solve records management problems
- This retention schedule covers the official copy of the record only. If multiple copies exist, the department, through policy, should designate the official copy. All other copies can be considered duplicates and may be destroyed when no longer needed.
- Permanent records in the department’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- The SCDAH shall determine in what medium records of archival value must be transferred by the department to the SCDAH.
- Destruction of non-permanent records, as authorized in this records schedule, should occur department-wide on a regular basis – for example, after the completion of an audit or at the end of a fiscal or calendar year.

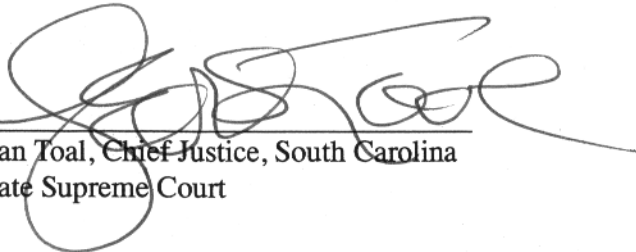
- Before destroying any public records listed in this records schedule, the department must ensure that the records have met all applicable federal and/or state audit, legal, litigation, fiscal, and other retention requirements.
- The department should document and report, on forms supplied by the South Carolina Department of Archives and History, all records disposals that are carried out in accordance with this records schedule.
- The department should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced.
- If the department chooses to maintain permanent records solely in electronic format, including but not limited to privileged internal documents from case files, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' preservation and accessibility in perpetuity.
- For any permanent records the department transfers to the SC Department of Archives and History (SCDAH), if the SCDAH chooses to maintain them solely in electronic format, then the SCDAH will assume responsibility for funding any system upgrades and migration strategies necessary to ensure the records' preservation and accessibility in perpetuity.
- The SCDAH will work with the department to designate a specific file format for the transfer of permanent electronic records.
- The SCDAH will work with the department to designate a specific time period and frequency rate for the transfer of permanent electronic records.
- In instances where the department is maintaining copies of non-permanent records in both paper files and electronic databases, it is strongly recommended, where feasible, to designate the electronic copy as the official copy for record-keeping purposes and dispose of the paper files when no longer needed for reference.
- The department should adopt and apply the *Electronic Records Management Guidelines* <http://arm.scdah.sc.gov/erp/> including the *Trustworthy Information Systems Handbook* <http://arm.scdah.sc.gov/erp/tishandbook.htm> developed by the SCDAH for the Judicial Department and other agencies.

- The department should work with SCDAH staff to develop procedures for capturing and preserving annual snapshots of the Judicial Department website.
- The staff of the Department of Archives and History may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Archives and Records Management Division analysts and archivists are available to instruct Judicial Department staff in record schedule development and use and to otherwise assist the department in implementing its records management program.

This record schedule was approved by:


Rodger Stroup, Director, SC Department
of Archives and History

7/22/08
Date


Jean Toal, Chief Justice, South Carolina
State Supreme Court

7.22.08
Date

Appendix A

Judicial Department Records in the Custody of the Department of Archives and History

- * 3,323 rolls of microfilm are stored in the Security Microfilm Vault. Film was first stored in the vault beginning in the late 1970's. No film has been added since the late 1990's.
- * More than 224 cubic feet of archival records from the Judicial Department are stored at the Archives. A summary list of these holdings is below:

Court of Appeals

S 237001 Court of Appeals.

Case files of Judge Randall Theron Bell
1983-1994

S 237002 Court of Appeals.

Opinions written by Judge Randall Theron Bell
1983-1990

S 237003 Court of Appeals.

Opinions
1989

S 237004 Court of Appeals.

Cases heard and submitted
1998-2002

Supreme Court

S 216001 Supreme Court.

Dockets of the Supreme Court
1868-1902

S 216002 Supreme Court.

Journals of the Supreme Court
1868-1886

S 216003 Supreme Court.

Opinions books
1868-1889

S 216004 Supreme Court.

Opinions
1933-1972

S 216005 Supreme Court.

Orders and motions
1933-1980

S 216006 Supreme Court.

Roll of attorneys
1868-1950

S 216007 Supreme Court.

Unsorted case papers of the Supreme Court
ca. 1878-1919

S 216009 Supreme Court.

Printed arguments and appeals and other papers
1878-1919

S 216010 Supreme Court.

Rules of practice for the Supreme Court, circuit courts,
and courts of probate
1879

S 216012 Supreme Court.

Cases heard and submitted
ca. 1930-1959

Clerk

S 216008 Supreme Court. Clerk.

Correspondence of the clerk of the Supreme Court
1935-1959

Supreme Court Reporter

S 216011 Supreme Court. Supreme Court Reporter.

Reports of cases heard and determined by the Supreme
Court of South Carolina
1968

Division of Court Administration

S 357001 Judicial Department. Division of Court
Administration.

Court reporter manuals
1987-2000

S 357002 Judicial Department. Division of Court

Administration.
Statistical and executive summaries of the Judicial Branch
1979-1999